

06-08-00

A

06/07/00
JC848 U.S. PTO

1c831 U.S. PTO
09/589253
06/07/00

UTILITY PATENT APPLICATION TRANSMITTAL Utility Small Entity Status (New Nonprovisional Applications Under 37 CFR § 1.53(b))	Attorney Docket No. <u>3212/3</u>
--	--------------------------------------

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is the patent application of inventors Kerimcan Engin and Robert C. Osborne, entitled METHOD AND SYSTEM FOR EXCHANGE OF FINANCIAL INVESTMENT ADVICE for a(n):

- () Original Patent Application.
- (X) Continuing Application (prior application not abandoned):
- () Continuation () Divisional () Continuation-in-part (CIP) (X) Regular Filing of Provisional of prior Application Serial No. 60/158,094 filed on October 7, 1999.
- () A statement claiming priority under 35 USC § 120 has been added to the specification.


Enclosed are:

- (X) Specification; 34 Total Pages (including title page) (X) Drawing(s); 8 Total Sheet(s).
- (X) Oath or Declaration:
- (X) A Newly Executed Combined Declaration and Power of Attorney:
- (X) Signed. () Unsigned. () Partially Signed.
- () A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).
- () Incorporation by Reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.
- () Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).
- () Power of Attorney. (X) Return Receipt Postcard.
- () Associate Power of Attorney. (X) A check in the amount of \$345 for the Filing Fee.
- () Preliminary Amendment. () Information Disclosure Statement and Form PTO-1449.
- () A Certified Copy of Priority Documents (if foreign priority is claimed).
- (X) Statement(s) of Status as a Small Entity.
- () Copy, Statement(s) of Status as a Small Entity filed in prior application (status still proper and desired).
- (X) Other: Statement of Priority Claimed
- (X) Other: Assignment, Assignment Recordation Form, and check in the amount of \$40

CLAIMS AS FILED				
FOR	NO. FILED	NO. EXTRA	RATE	FEE
Total Claims	20 - 20	0	\$9.00	\$.00
Independent Claims	3 - 3	0	\$39.00	\$.00
Multiple Dependent Claims (if applicable) (\$130)				\$.00
Basic Filing Fee				\$ 345.00
Total Filing Fee				\$ 345.00

- (x) The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0930. A duplicate copy of this sheet is enclosed.
- (x) Any additional filing fees required under 37 CFR § 1.16.
- () Any patent application processing fees under 37 CFR § 1.17.

Respectfully submitted,

By: 

Michael H. Baniak, Registration No. 30,608
 Michael K. Lindsey, Registration No. 39,278


Date: June 7, 2000

Correspondence Address:

Michael H. Baniak
 BANIAK NICHOLAS PINE & GANNON
 1603 Orrington Avenue, Suite 2000
 Evanston, Illinois 60201
 (847) 424-8420 Telephone
 (847) 424-8320 Facsimile

I hereby certify that this is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

Assistant Commissioner for Patents
 Box Patent Application
 Washington, D.C. 20231

By: 

Typed Name: BANIAK

Express Mail Label No.: EL 349 632 023 US

Date of Deposit: June 7, 2000

"Express Mail" mailing label number EL 349 632 023 US
Date of Deposit June 7, 2000

PATENT
Case No. 3212/3

1c931 U.S. PTO
09/589253
06/07/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

KERIMCAN ENGIN and ROBERT C. OSBORNE

Serial No. _____

Filed: June 7, 2000

Title: METHOD AND SYSTEM FOR
EXCHANGE OF FINANCIAL
INVESTMENT ADVICE

Examiner:

Group Art Unit:

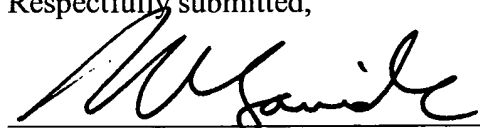
STATEMENT OF PRIORITY CLAIMED

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicants claim priority to prior pending Provisional Application Serial No. 60/158,094,
filed on October 7, 1999, entitled Computer Method and System for Intermediated Exchange of
Financial Investment Advice.

Respectfully submitted,



Michael H. Baniak, Reg. No. 30,608
Michael K. Lindsey, Reg. No. 39,278
Attorneys for Applicants

June 7, 2000

BANIAK NICHOLAS PINE & GANNON
1603 Orrington Avenue, Suite 2000
Evanston, Illinois 60201
(847) 424-8420